

中国博士专著

农业领域



Monographs
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• Agriculture

农地资源合理配置的制度 经济学分析

Analysis on the Rational Allocation of Rural
Land from the View of Economics of Institution

■ 韩冰华 著

本研究以我国农业发展的关键要素——农地资源的合理配置为着力点，以资源配置的三大理论为支撑，从制度经济学角度系统分析了农地制度对农地资源优化配置的基础性作用，构建了农地资源合理配置的一般分析框架。参照国内外的研究成果，对现有农地制度下我国农地资源状况进行了实证研究。在此基础上进一步探究了我国农地资源配置存在的问题并进行了归纳分析，提出了我国农地资源优化配置的目标、原则，以及以农地制度的创新和农地配置机制的完善来提高农地资源的配置效率。

中国农业出版社

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图书在版编目 (CIP) 数据

农地资源合理配置的制度经济学分析 / 韩冰华著.
北京: 中国农业出版社, 2005. 9
(中国博士专著·农业领域)
ISBN 7-109-10238-6

I. 农... II. 韩... III. 农业用地—土地资源—资源管理—研究—中国 IV. F323.211

中国版本图书馆 CIP 数据核字 (2005) 第 106037 号

中国农业出版社出版

(北京市朝阳区农展馆北路 2 号)

(邮政编码 100026)

出版人: 傅玉祥

责任编辑: 杨天桥

中国农业出版社印刷厂印刷 新华书店北京发行所发行

2005 年 9 月第 1 版 2005 年 9 月北京第 1 次印刷

开本: 850mm×1168mm 1/32 印张: 12.75

字数: 307 千字 印数: 1~1 000 册

定价: 50.00 元

(凡本版图书出现印刷、装订错误, 请向出版社发行部调换)

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出版者的话

科技发展靠人才。我国目前的中青年博士就是跨世纪人才中的一部分。他们当中的一些人有的已成为有关学科的学术骨干，有的已在其学科领域获重大突破，被老一代科学家公认为很有前途的学科带头人。更为可喜的是，我国高技术研究发展战略计划——“863 计划”的各个领域中，也吸收一批中青年学者挑起大梁。毋庸置疑，编辑出版他们的学术著作也将是一项继往开来承前启后的跨世纪系统工程。因为他们的学术著作不仅是老一辈科学家思想体系和学术成就的集中反映，也是本世纪末和 21 世纪科技人才脱颖而出的询路之石。

《中国博士专著·农业领域》丛书的出版，必将对我国农业科技事业的发展起着不可估量的作用。

我们的农学博士们大多还很年轻，反映在他们著作中的一些观点、原理和方法是否成熟，表现出的学术研究水平究竟如何，还需在问世后接受广大读者的检验。殷切期待着广大高等农业院校师生、研究生以及农业科技和管理人员提出宝贵意见，使之日臻完善。

1994 年 7 月

摘 要

本研究以我国农业发展的关键要素——农地资源的合理配置为着力点，以资源配置的三大理论为支撑，从制度经济学角度系统分析了农地制度对农地资源优化配置的基础性作用，构建了农地资源合理配置的一般分析框架。参照国内外的研究成果，对现有农地制度下我国农地资源的配置状况进行了实证研究。在此基础上进一步探究了我国农地资源配置存在的问题并进行了归因分析，提出了我国农地资源优化配置的目标、原则，以及以农地制度的创新和农地配置机制的完善来提高农地资源的配置效率。研究分为两大部分，由七章构成。

第一部分对本研究的背景及资源配置的基础理论进行了系统的研究和阐发，包括第一章到第三章。

第一章介绍了本研究的背景因素，简要说明了本研究的四个研究动因、研究方法和基本思路、研究的理论意义和实践意义以及可能的创新。重点评述了围绕农地制度变迁与农地资源配置利用问题的国内外研究进展，提出土地问题历来是决定民心向背的关键问题，而农地制度的变迁与创新又是农地资源配置效率提高的根本性前提。

第二章对经济学的永恒主题——资源配置理论进行了系统的阐发。一是对本研究所涉及的相关概念进行了诠释。二是对马克思主义资源配置理论、新古典经济学的资源配置理论、新制度经济学的资源配置理论进行了比较研究,指出了三大资源配置理论对资源配置的作用与指导意义,评判了各自的理论局限以及有待进一步廓清的问题。

第三章构建了农地资源合理配置的制度经济学分析框架。首先,论述了农地的多种特性决定了人类要合理配置利用农地资源。其次,概括了农地资源的多种配置利用方式及配置利用多元化的必然性。第三,提出了农地资源配置的三大主体概念,并考量了各自配置农地资源的影响因素。最后,以制度经济学为理论依据,构建了农地资源合理配置的分析框架。

第二部分为实证研究部分。对中国农地资源配置利用进行了分析研究,包括第四章到第七章。

第四章对新中国成立后农地制度变迁的路径及农地资源的配置绩效进行了评判。一是简要分析了农地制度变迁的动因、农地制度变迁的成本、两种主要的农地制度变迁方式及其特征、农地制度变迁与农地资源配置的帕累托改进过程。二是对土地改革、合作化运动、人民公社运动、家庭联产承包责任制等农地制度变迁的原因、成本及其绩效进行了对比研究,提出任何一种农地制度带来的配置绩效随着制度性环境和非制度性环境的变化而出现变化。

第五章对家庭承包制下农地资源配置行为进行了实证研究。通过对农地发包权的研究,分析了土地调整的影响因素及其对农地资源合理配置的影响。通过对农地流转的实证研究,指出其不能形成“气候”的症结所在。通过对地权稳定性的调查研究,得出地权不稳定对农户投资造成直接影响的结论。

第六章分析了我国农地资源配置利用存在的三大问题。一是对农地资源稀缺性认识不足,配置利用的劣势越来越突出;二是三大农地配置主体协调性不强,农地计划性配置与市场性配置吻合度差;三是农地配置利用公平与效率矛盾的激化。论述了我国农地资源配置不合理带来的负面效应:农地数量损失过快;农地碎化程度近 20 年来有加剧的趋势;农地资源配置经济效益徘徊低迷;生态效率下降,农地资源退化和破坏严重;农地利用不合理引发农地抛荒和带来“三无农民”等系列社会问题。同时,对上述问题及负面效应的归因从制度性因素、非制度性因素层面进行了关联性分析。

第七章针对我国农地资源进一步优化配置问题,首先提出了我国农地资源配置的三大优化目标。其次对我国农地资源优化配置的原则进行了理顺,提出效率优先原则和可持续利用原则是农地优化配置的核心原则。第三,从农地利用分区等环节对农地资源优化配置的技术流程进行了完善。最后,提出加强农地配置宏观调控机制,完善农地配置的市场机制,以制

度创新来促进农地资源的优化配置。

本研究可能的创新点如下：

第一，笔者以资源配置三大理论为支撑，从农地资源的配置对象——配置主体——配置方式——配置规范这一主线出发，以新制度经济学原理构建出农地资源合理配置的分析框架，并得出如下研究结论：农地资源配置主体由宏观、中观、微观三大主体构成，其配置利用农地的方式呈现出多元化趋势。

第二，系统评判了新中国成立后三次大的农地制度变迁与农地资源配置绩效。研究指出诱致性农地制度变迁与强制性农地制度变迁二者的结合有利于新制度的安排、运行，有利于节省制度成本，有利于农地资源的有效配置。同时指出家庭承包制实施 20 余年来，其制度的张力效应已日趋减弱，农业发展及农地产出纯收益出现多个小“倒 U 谷”，创新农地制度成为解决我国农业发展问题的当务之急。

第三，通过现有农地制度下农地配置利用行为的实证研究，指出土地大调整是导致地权不稳的重要因素，土地小调整是农地所有者、使用者的固有权利，国家及其代理人只能监督和规范土地小调整。

第四，对我国农地资源配置不合理的问题进行了归因分析，指出现有农地制度缺陷、土地资源禀赋缺陷、主体构成缺陷、非正式规则缺陷是制约我国农地资源合理配置的内、外在关联性因素。

第五，提出农地资源配置利用预警机制的

构想，把单一耕地预警机制阐发到所有农地资源的预警机制。同时，对咸宁市咸安区耕地总量动态平衡的预警机制进行了实证研究。

第六，构架了以农地货币化为基础的农村新型保障制度，这种新的保障制度变实物保障为货币保障、变农民个人保障为国家、集体、个人三结合的保障，既有利于农地、农民流动，更是全社会协调发展的一条有效途径。

关键词 农地；农地制度；农地资源配置；制度经济学；制度创新

Abstract

Based on three basic theories about the allocation of natural sources, focusing on the rational allocation of rural land, from the view of economics of institution, this essay analyses how the institution of rural land functions in optimizing the allocation of rural land, and tries to set up an evaluation system to measure the rationality of allocation of rural land. Reference to the research findings home and abroad, based on the survey of the current situation of rural land in China, this essay demonstrates the problems in the current allocation of rural land, analyses their causes, and tries to put forward the goals and principles to optimize the allocation of rural land, as to perfect the mechanism of allocation of rural land and to promote the efficiency of utilization of rural land. This essay consists of two parts, including seven chapters.

The first part of this essay outlines the background of this research and the basic theories of allocation of natural resource, it covers the first three chapters.

The first chapter introduces the background of this research and states briefly its four motivations, research approaches, its theoretical and practical significance and the possible innovation. This chapter focuses on the development of home and abroad research on the institution of rural land and allocation of rural land. And in this chapter the writer points out that rural land is the key issue relevant to the morale of the public, and the perfecting and innovation of institution of rural land is the premise to promote the efficiency of allocation.

In the second chapter the author reviews systematically the theories of allocation of natural source, which are the eternal theme of economics. To begin with, some relevant concepts in this research are interpreted, and then a comparison is made among the allocation of natural resource theory of Marxism, that of neo-classical economics, and that of neo-economics of institution, subsequently these theories' respective practical significance in allocation of natural source, are pointed out, as well as their respective limitation.

In the third chapter, an evaluation system, from the view of economics of institution, is constructed to measure the rationality of allocation of land. Firstly, it is illustrated

that it is the variety of rural land that determines the necessity to allocate the rural land rationally; and then all sorts of ways of allocating and utilizing rural land are discussed, thus to illustrate the necessity of diversification of rural land allocation; after the defining of three concepts in allocation of rural land, all kinds of factors, which influence the allocation of rural land, are explored. Finally, based on the theory of economics of institution, an evaluation system is constructed to measure the rationality of allocation of land.

The second part of this essay mainly presents the surveys of the current situation of rural land allocation and utilization in China. It covers four chapters, from Chapter 4 to Chapter 7.

In Chapter 4, the author reviews the development of institution of rural land and gives comments on the achievements of rural land reforms of all previous periods since the foundation of New China. In brief in this chapter, the author analyzes the motivation of rural land reforms, the cost of rural land reforms, the characteristics of two main rural reforms, and the Pareto effect of reforms of institution of rural land allocation. Also a comparison is made here, in causes, cost, and performance of rural land reform, among Land Reform,

Cooperation Movement, People's Community Movement, and the Household Contract Responsibility System Reform, and a conclusion is also made, from this comparison, that the performance of any institution of rural land results from both institutional and non-institutional environment.

Chapter 5 centers about the survey of allocation of rural land in the household contract responsibility system. Through the investigation on the authority to make contracts of rural land, the writer analyzes all factors which influence the rural land adjustment; and based on the survey on the move of rural land, the writer finds out the causes that hinder fluent conversion of rural land; also, through the investigation on the stability of property right of rural land, the writer makes the conclusion that the instability of property right of rural land has directly a negative impact on the farmers' investment.

In Chapter 6, three problems existing in the allocation of rural land in China are discussed. Firstly, the scarcity of rural land in China is not fully recognized; secondly, the coordination is poor among the three parts involved in allocation of rural land, and the planning rural land allocation does not inosculate with market one; finally the inconsistency

between justice of rural land allocation and efficiency is getting intensified.

The irrationality in allocation of rural land in China brings on the following negative impacts: firstly, the amount of rural land is fast detracting; secondly, broad acres of farmland are being smashed into small patches since past 20 years, as makes against promoting productivity; thirdly, the allocation of rural land is economically inefficient; fourthly, rural land is badly deteriorating and becoming ecologically inefficient; fifthly, the irrationality of rural allocation has left plenty of farmland uncultivated and also bring on a series of social problems such as “sanwu farmers” (farmers without land, jobs, or social security). Meanwhile, it is argued that the above problems and their negative impacts are attributed to all kinds of factors, including institutional and non-institutional.

As for optimization of rural land allocation in China, in Chapter 7, three aims of optimization are put forward, as well as some principles of optimization, of which the core is the efficiency priority and sustainable utilization. Also, in this chapter, it is proposed that the allocation of rural land can be technologically improved through some key measures such as zoning (zoning rural land according to

its ecological characteristics, and planting a certain grain on a large scale). Institutionally, the optimization of rural land allocation can be promoted by strengthening macro-control, market mechanism and institutional innovation.

Possible innovations in this research:

Firstly, based on three basic theories about the allocation of natural sources, going along this thread "the objects of allocation—ways of allocation—regulating of allocation", reference to the theory of new economics of institution, the writer has constructed an evaluation system to measure the rationality of allocation of land, and made the conclusion that the main body of allocation of rural land consists of three principal parts: the macro one, medium one and micro one; and that the tendency is diversification of rural land allocation.

Secondly, a judgement is passed on the three main reforms of rural land institution and their respective performance. It is supposed that the integration of inductive adjustment of rural land institution and compulsory adjustment of rural land institution is propitious to implementation of new institution, economization of cost of new institution, and optimization of allocation of rural land.

Meanwhile it is pointed out that its efficiency or tensility has been fading away since the household contract responsibility system was implemented in China more than 20 years ago, and the graph of agricultural development and its net profits shows many “converse U valley”. As a result, it is urgent to innovate the institution of rural land, as to solve the problems in the development of agriculture in China.

Thirdly, the survey of present situation of allocation of rural land shows that the large-scale adjustment to rural land is a key factor that brings on instability of property right of farmland, the owners or users of rural land should enjoy the authority to make small-scale adjustment while the government and its agency ought to do nothing but to supervise and regulate that.

Fourthly, the attribution analysis on the irrationality of allocation of rural land in China demonstrates that the deficiencies in the rural land institution, the quality and quantity of rural land, main bodies involved in allocation, and the informal laws constitute the internal and external factors that restrict interactively the rational allocation of rural land in China.

Fifthly, it is conceived that an alert mechanism be introduced to allocation of rural